

Receipt

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No. 09/610,160
Filing Date 7/5/2000
Inventorship Horn et al.
Group Art Unit
Examiner
Applicant Marketocracy
Attorney's Docket No. MK1-003US
Title: System and Method for Determining and Tracking Performance Metrics for Individual Investors

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PATENT & TRADEMARK OFFICE

TRANSMITTAL LETTER AND CERTIFICATE OF MAILING

To: The Commissioner of Patents & Trademarks
Washington, D.C. 20231
From: Lewis C. Lee (Tel. 509-324-9256; Fax 509-323-8979)
Lee & Hayes, PLLC
421 W. Riverside Avenue, Suite 500
Spokane, WA 99201

The following enumerated items accompany this transmittal letter and are being submitted for the matter identified in the above caption.

1. Transmittal letter including Certificate of Mailing
2. Return Post Card
3. Request for Correction of Filing Receipt and attachments

Large Entity Status [x] Small Entity Status []

Applicant hereby requests an extension of time in any case such an extension is necessary. The fee should be charged to the Deposit Account indicated below.

The Commissioner is hereby authorized to charge payment of fees or credit overpayments to Deposit Account No. 12-0769 in connection with any patent application filing fees under 37 CFR 1.16, and any processing fees, including any necessary extension fees under 37 CFR 1.17.

Date: 1/10/2001 By: Lewis C. Lee
Lewis C. Lee
Reg. No. 34,656

CERTIFICATE OF MAILING

I hereby certify that the items listed above as enclosed are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to The Commissioner of Patents & Trademarks, Washington, D.C. 20231, on the below-indicated date

Date: 1/10/2001 By: Cheryl Boies
Cheryl Boies

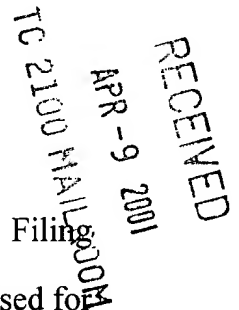
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Application Serial No.09/610,160
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Individual Investors

REQUEST FOR CORRECTION OF FILING RECEIPT

To: Application Processing Division – Customer Correction Branch
Commissioner of Patents and Trademarks
Washington, D.C. 20231

From: Lewis C. Lee (Tel. 509-324-9256; Fax 509-323-8979)
Lee & Hayes, PLLC
421 W. Riverside Avenue, Suite 500
Spokane, WA 99201




There is an error in the address of the second listed applicant on the Filing Receipt. The correct state is CA. A copy of the executed Declaration is enclosed for verification.

A copy of the filing receipt with the correction noted is also enclosed. Applicant respectfully requests correction and issuance of a corrected filing receipt.

Respectfully submitted,

Dated: 1/10/2001

By: _____


Lewis C. Lee
Reg. No. 34,656
(509) 324-9256



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/610,160	07/05/2000	2761	576	MK1-003US	3	24	6

Lewis C Lee
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421 W Riverside Avenue
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FILING RECEIPT



OC000000005525085

Date Mailed: 11/02/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Bruce Horn, Mammoth Lakes, CA ;
Blake Ward, Los Gatos, CA

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 09/06/2000

** SMALL ENTITY **

Title

System and method for determining and tracking performance metrics for individual investors

Preliminary Class

705

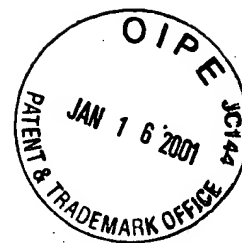
Data entry by : JONES, ANGELONA

Team : OIPE

Date: 11/02/2000



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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15



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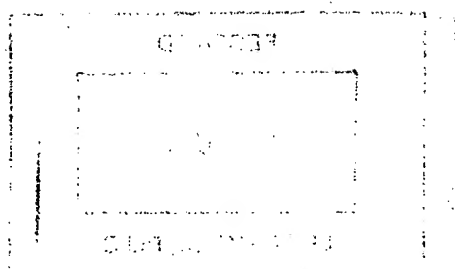
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- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Assistant Commissioner for Patents
Office of Initial Patent Examination
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Washington, DC 20231



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Bib Data Sheet

CONFIRMATION NO. 4511

SERIAL NUMBER 09/610,160	FILING DATE 07/05/2000 RULE	CLASS 705	GROUP ART UNIT 2761	ATTORNEY DOCKET NO. MK1-003US
APPLICANTS Bruce Horn, Mammoth Lakes, CA; Blake Ward, Los Gatos, CA;				
** CONTINUING DATA *****				
** FOREIGN APPLICATIONS *****				
IF REQUIRED, FOREIGN FILING LICENSE				
GRANTED ** 09/06/2000				
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Allowance		STATE OR COUNTRY CA	SHEETS DRAWING 3	TOTAL CLAIMS 24
Verified and Acknowledged _____ Examiner's Signature Initials		INDEPENDENT CLAIMS 6		
ADDRESS Lewis C Lee Lee & Hayes PLLC 421 W Riverside Avenue Suite 500 Spokane ,WA 99201				
TITLE System and method for determining and tracking performance metrics for individual investors				
FILING FEE RECEIVED 576	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	